## Electronic Filing System (EFS) Data Electronic Patent Application Submission USPTO Use Only

EFS ID:

15137

Application ID:

10063728

SECRETED AND TRANSMEMBRANE

Title of Invention:

POLYPEPTIDES AND NUCLEIC

ACIDS ENCODING THE SAME

First Named Inventor:

Dan Eaton

Domestic/Foreign Application:

**Domestic Application** 

Filing Date:

null

Effective Receipt Date:

2002-05-08

Submission Type:

**Utility Patent Filing** 

Filing Type:

new-utility

Confirmation Number:

Ω

Attorney Docket Number:

10466/450

cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and

Digital Certificate Holder:

Trademark Office, ou=Department of Commerce, o=U.S.

Government, c=US

Certificate Message Digest:

sk1p01jLJKRvDzBMBg9XKQ==

Total Fees Authorized:

\$740.0

Payment Category:

CC - Credit Card

Credit Card Number:

\*\*\*\*\*\*\*\*\*1001

**Expiration Date:** 

05022004

Card Holder Name:

M HOFFMAN 10466/450

RAM User ID:

**EFSPROD** 

**RAM Accounting Date:** 

2002-05-08

RAM Sequence Number:

449162

**RAM Payment Status:** 

RAM success

Postal Code:

60611

## TRANSMITTAL FORM

Electronic Version 1.0.3

Stylesheet Version: 1.0

Attorney Docket

Number:

10466/450

Submission Type: Utility Patent

Filing

# SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

First Named Inventor: Dan Eaton

SUBMITTED BY

Name:

Dr. Paul E. Rauch

Registration Number:

38591

.

38591

Electronic Signature Mark: Paul E.

Rauch

Date Signed: 20020508

I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.

I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.

Attached Files:

sequence-listing

Sequence\_Listing\_as\_filed.txt

declaration

Declaration01.tif

declaration Declaration02.tif declaration Declaration03.tif declaration Declaration04.tif declaration Declaration05.tif Declaration06.tif declaration declaration Declaration07.tif declaration Declaration08.tif declaration Declaration09.tif Declaration10.tif declaration declaration Declaration 11.tif declaration Declaration12.tif bibd-transmittal 10466450apds.xml fee-transmittal 10466450fee.xml 10466450.xml specification Attached Image File(s): Declaration01.tif Declaration02.tif Declaration03.tif Declaration04.tif Declaration05.tif Declaration06.tif Declaration07.tif Declaration08.tif Declaration09.tif Declaration10.tif Declaration 11.tif

Declaration12.tif

#### Comments:

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRAME 012377/0266; Recorded:12/06/2001

## COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention

#### SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S

the specification of which (check one)  $\underline{X}$  is attached hereto or was filed on as Application Serial No. and was ar applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including amended by any amendment referred to above.

Lacknowledge the duty to disclose information which is material to the examination of this application in accordance Code of Federal Regulations, Section 1.56.

Thereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application (s inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certifling date before that of the application on which priority is claimed:

	Applica	

Prior Yes

Number

Country

Day/Month/Year Filed

Thereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications (s

### Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)

Application Ser. No.

Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed belo as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material idefined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior applic national or PCT international filing date of this application:

Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications

Application Ser. No.

Filing Date

Status: Patented, Pending, Abandon

Application Ser. No.

Filing Date

Status: Patented, Pending, Abandon

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Traconnected therewith.

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

Send correspondence to:

Attn: Paul E. Rauch Brinks, Hofer, Gilson & Lione NBC Tower - Suite 3600 455 N. Cityfront Plaza Drive Chicago, IL 60611-5599 Telephone: 312-321-4780 Facsimile: 312-321-4299

Email: prauch@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements we knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent at to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. a or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor	
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Inventor's signature Away	10/1/0/
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Citizenship CA	
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Audrey Goddard	
Inventor's signature	Date
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Citizenship CA	
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Full name of fifth joint inventor, if any	
Paul J. Godowski	
Inventors signature  Auf House  Residence	10[1] <sup>Date</sup>
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Citizenship US	``````````````````````````````````````
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Full name of sixth joint inventor, if any	
J. Christopher Grimaldi	
Inventor's signature	Date 10 ( 2 /c
Residence 1434 36 <sup>th</sup> Avenue, San Francisco, CA 94122	
Citizenship US	
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Austin L. Gurney	
Inventor's signature	Date
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Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

Full name of eighth joint inventor, if any	
Colin K. Watanabe	
Inventor's signature	Date   / J - 1 - 100
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Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of nineth joint inventor, if any	
William I. Wood	
Inventor's signature	Date   13/11
Residence 35 Southdown Court, Hillsborough, CA 94010	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

## COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint invenames are listed below) of the subject matter which is claimed and for which a patent is sought on the inventio

#### SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SA

the specification of which (check one)  $\underline{X}$  is attached hereto or was filed on as Application Serial No. and was am applicable).

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Lacknowledge the duty to disclose information which is material to the examination of this application in accordance Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certifling date before that of the application on which priority is claimed:

Prior Foreign A	optication(s):		<u>Priori</u> <u>Yes</u>
Number	Country	Day/Month/Year Filed	

Thereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s

# Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications) Application Ser. No. Filing Date

Thereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application i provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material in defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior applic national or PCT international filing date of this application:

Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications

Application Ser. No. Filing Date Status: Patented, Pending, Abandon

Application Ser. No.

Filing Date

Status: Patented, Pending, Abandon-

POWER OF ATTORNEY: As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Tracconnected therewith.

09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

#### Send correspondence to:

Attn: Paul E. Rauch

Brinks, Hofer, Gilson & Lione NBC Tower - Suite 3600 455 N. Cityfront Plaza Drive Chicago, IL 60611-5599 Telephone: 312-321-4780 Facsimile: 312-321-4299

Email: prauch@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements wer knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the Un and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent age to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attor agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent in herein will be so notified by the undersigned.

Full name of sole or first inventor	
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Inventor's signature	Date
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Full name of second joint inventor, if any	
Ellen Filvaroff	
Inventor's signature	Date
Residence 538 18 <sup>th</sup> Avenue, San Francisco, CA 94121	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of third joint inventor, if any	
Mary E. Gerritsen	
Inventor's signature	Date 0 CK 15 , 2007
Residence 541 Parrott Drive, San Mateo, CA 94402	
Citizenship CA	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

Full name of fourth joint inventor, if any	
Audrey Goddard	
Inventor's signature	Date
Residence 110 Congo Street, San Francisco, CA 94131	
Citizenship CA	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of lifth joint inventor, if any	
Paul J. Godowski	
Inventor's signature	Date
Residence 25 Orange Court, Hillsborough, CA 94010	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of sixth joint inventor, if any	
J. Christopher Grimaldi	
Inventor's signature	Date
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Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of seventh joint inventor, if any	
Austin L. Gurney	
Inventor's signature	Date
Residence 1 Debbie Lane, Belmont, CA 94002	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

Full name of eighth joint inventor, if any				
Colin K. Watanabe				
Inventor's signature			Date	
Residence 128 Corliss Drive, Moraga, CA 94556				
Citizenship US				<del></del>
Post Office Address 1 DNA Way South San Francisco, CA 94080				
Full name of nineth joint inventor, if any	<u> </u>			
William I. Wood				
Inventor's signature			Date	
Residence 35 Southdown Court, Hillsborough, CA 94010		<u> </u>		
Citizenship US				
Post Office Address 1 DNA Way South San Francisco, CA 94080				

## **APPENDIX A**

Thereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

1.	60/063435	Filed 10/29/97
2.	60/064215	Filed 10/29/97
3.	60/082797	Filed 4/22/98
4.	60/083495	Filed 4/29/98
5.	60/085579	Filed 5/15/98
6.	60/087759	Filed 6/2/98
7.	60/088021	Filed 6/4/98
8.	60/088029	Filed 6/4/98
9.	60/088030	Filed 6/4/98
10.	60/088734	Filed 6/10/98
11.	60/088740	Filed 6/10/98
12.	60/088811	Filed 6/10/98
13.	60/088824	Filed 6/10/98
14.	60/088825	Filed 6/10/98
15.	60/088863	Filed 6/11/98
16.	60/089105	Filed 6/12/98
17.	60/089514	Filed 6/16/98
18.	60/089653	Filed 6/17/98
19.	60/089952	Filed 6/19/98
20.	60/090246	Filed 6/22/98
21.	60/090444	Filed 6/24/98
22.	60/090688	Filed 6/25/98
23.	60/090696	Filed 6/25/98
24.	60/090862	Filed 6/26/98
25.	60/091628	Filed 7/2/98
26.	60/096012	Filed 8/10/98
27.	60/096757	Filed 8/17/98
28.	60/096949	Filed 8/18/98
29.	60/096959	Filed 8/18/98
30.	60/097954	Filed 8/26/98
31.	60/097971	Filed 8/26/98
32.	60/097979	Filed 8/26/98
33.	60/098749	Filed 9/1/98
34.	60/099741	Filed 9/10/98
35.	60/099763	Filed 9/10/98
36.	60/099792	Filed 9/10/98
37.	60/099812	Filed 9/10/98
38.	60/099815	Filed 9/10/98
39.	60/100627	Filed 9/16/98
40.	60/100662	Filed 9/16/98
41.	60/100683	Filed 9/17/98
42.	60/100684	Filed 9/17/98
43.	60/100930	Filed 9/17/98
44.	60/101279	Filed 9/22/98

46.	60/101738	Filed 9/24/98
47.	60/101743	Filed 9/24/98
48.	60/101916	Filed 9/24/98
49.	60/102570	Filed 9/30/98
50.	60/103449	Filed 10/6/98
51.	60/103678	Filed 10/8/98
52.	60/103679	Filed 10/8/98
53.	60/103711	Filed 10/8/98
54.	60/105000	Filed 10/20/98
55.	60/105002	Filed 10/20/98
56.	60/105881	Filed 10/27/98
57.	60/106030	Filed 10/28/98
58.	60/106464	Filed 10/30/98
59.	60/106856	Filed 11/3/98
60.	60/108807	Filed 11/17/98
61.	60/112419	Filed 12/15/98
62.	60/112422	Filed 12/15/98
63.	60/112853	Filed 12/16/98
64.	60/113011	Filed 12/16/98
65.	60/112854	Filed 12/16/98
66.	60/113300	Filed 12/22/98
67.	60/113408	Filed 12/22/98
68.	60/113430	Filed 12/23/98
69.	60/113621	Filed 12/23/98
70.	60/114223	Filed 12/30/98
71.	60/115614	Filed 1/12/99
72.	60/116527	Filed 1/20/99
73.	60/116843	Filed 1/22/99
74.	60/119285	Filed 2/9/99
75.	60/119287	Filed 2/9/99
76.	60/119525	Filed 2/10/99
<i>77</i> .	60/119549	Filed 2/10/99
78.	60/120014	Filed 2/11/99
79.	60/129122	Filed 4/13/99
80.	60/129674	Filed 4/16/99
81.	60/131291	Filed 4/27/99
82.	60/138387	Filed 6/9/99
83.	60/144791	Filed 7/20/99
84.	60/169495	Filed 12/7/99
85.	60/175481	Filed 1/11/00
86.	60/191007	Filed 3/21/00
87.	60/199397	Filed 4/25/00

### **APPENDIX B**

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed be

#### **US APPLICATIONS**

1.	09/380139	Filed 8/25/98	
2.	09/311832	Filed 5/14/99	
3.	09/380137	Filed 8/25/99 ABD	
4.	09/380138	Filed 8/25/99 ABD	
5.	09/380142	Filed 8/25/99 ABD	
6.	09/397342	Filed 9/15/99	
7.	09/403297	Filed 10/18/99	ABD
8.	09/423844	Filed 11/12/99	ABD
9.	09/644848	Filed 8/22/00	
10.	09/665350	Filed 9/18/00	
11.	09/664610	Filed 9/18/00 ABD	
12.	09/709238	Filed 11/8/00	
13.	09/747259	Filed 12/20/00	
14.	09/816744	Filed 3/22/01	
15.	09/854208	Filed 5/10/01	
16.	09/854280	Filed 5/10/01	
17.	09/870574	Filed 5/30/01	
18.	09/874503	Filed 6/5/01	

Filed 6/29/01 Filed 7/18/01

#### **PCT APPLICATIONS**

09/869599

09/908,827

19.

20.

l.	PCT/US98/19330	Filed 9/16/98
2.	PCT/US99/05028	Filed 3/8/99
3.	PCT/US99/10733	Filed 5/14/99
4.	PCT/US99/12252	Filed 6/2/99
5.	PCT/US99/20111	Filed 9/1/99
6.	PCT/US99/21090	Filed 9/15/99
7.	PCT/US99/21194	Filed 9/15/99
8.	PCT/US99/30720	Filed 12/22/99
9.	PCT/US00/04341	Filed 2/18/00
10.	PCT/US00/04342	Filed 2/18/00
11.	PCT/US00/04414	Filed 2/22/00
12.	PCT/US00/05601	Filed 3/1/00
13.	PCT/US00/08439	Filed 3/30/00
14.	PCT/US00/14042	Filed 5/22/00
15.	PCT/US00/15264	Filed 6/2/00
16.	PCT/US00/23522	Filed 8/23/00
17.	PCT/US00/23328	Filed 8/24/00
18.	PCT/US00/30873	Filed 11/10/00
19.	PCT/US00/32378	Filed 12/1/00
20	PCT/HS00/34956	Filed 12/20/00

22.	PCT/US01/06666	Filed 3/1/01
23.	PCT/US01/17443	Filed 5/30/01
24.	PCT/US01/17800	Filed 6/1/01
25.	PCT/US01/19692	Filed 6/20/01
26.	PCT/US01/21066	Filed 6/29/01
27.	PCT/US01/21735	Filed 7/9/01

# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

Patent fees are subject to annual revisions on or about October 1st of each year.

Large Entity

## **TOTAL FEES AUTHORIZED: \$ 740**

BANK (CREDIT) CARD INFORMATION:

Credit Card Number:

1001

**Expiration Date:** 

20040502

Authorized Name:

M HOFFMAN 10466/450

Billing Address:

60611

BASIC FILING FEE

Fee Description	Fee Code	Fee Paid	
Utility Filing Fee	101	\$ 740	

Subtotal For Basic Filing Fee: \$ 740

#### **EXTRA CLAIM FEES**

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 20	103	\$ 18	0	\$ 0
Independent Claims: 3	102	\$ 84	0	\$ 0

Subtotal For Extra Claims Fees: \$ 0